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## 学 位 论 文

# 民事诉讼自认规则研究

Study On The Admission Rule In The Civil Procedure

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## 内 容 提 要

自认规则是民事诉讼法上的一项重要证据法则。大陆法系和英美法系国家对此都有较为完善的规定。相比之下,我国民事诉讼立法对自认规则却未作出规定,虽然最高人民法院于2001年通过的《关于民事诉讼证据的若干规定》对此有所涉及,但其规定不仅过于原则和简单,而且在内容上亦存在着不协调甚至矛盾之处,可操作性不强,且仅限于司法解释而未上升至立法层面并形成一种制度,导致在实践中未能发挥其应有的功能。同时,从诉讼理论上来看,我国很少有学者对之加以系统论述,理论研究明显滞后,对某些问题也未能达成共识。本文结合国内外的理论和实践,对自认规则的若干问题进行比较深入的探讨,除前言和结语外,正文分为四章。

第一章:对自认规则诸如自认的概念及其构成要件、自认的属性、理论基础进行概述和界定。自认是指在民事诉讼中,一方当事人就对方当事人所主张的不利于己的事实指称以言词或行为向主审法官承认其为真实的声明或表示。自认的成立须具备六个要件。从本质上讲,诉讼上的自认具有证据规则的性质。各国证据规则将自认规则纳入其规制范围,乃有其深刻的理论基础。

第二章:关于诉讼上自认的效力的论述,即诉讼上自认具有免除当事人举证,拘束当事人及法院的效力。自认的效力不仅及于一审法院,而且及于二审乃至再审法院。但自认的效力并不是绝对的,为了维护社会公共利益,或出于诉讼政策的必要考虑等,各国在立法上或学理上往往认为应当对自认的效力加以必要的限制,或者作为自认规则的一种例外,而使自认不能发生效力或者生效后又失效;以及对明示自认可以撤销、默示自认予以追复的问题。

第三章:对两大法系的立法及学理进行比较研究,并对自认的类型展开分析。虽然大陆法系和英美法系国家对自认规则都有较为完善的规定,两大法系关于自认的立法及学理具有共同或相似的特点,但又各具特色。同时,自认依不同的标准可分为不同的类型,明确这些自认的类型,对于理解自认的本质及

其运用是十分必要的。

第四章：根据我国当前自认规则的现状，剖析其缺陷和不足，并提出一些完善对策。自认是一项古老的法则，而我国的《民事诉讼法》却没有规定。对此，最高人民法院的《关于民事诉讼证据的若干规定》虽然作了些规定，但是，其完备性、准确性都存在不足，使得自认规则在审判实践中的运用大打折扣，自认规则所具效能和作用并未得到有效的发挥和利用。因此，我们应进一步借鉴国外及台湾地区关于自认的学理、判例及立法经验，重构和完善我国的自认规则。

**关键词：**民事诉讼；证据制度；自认规则

## ABSTRACT

Admission rule is an important evidence rule of civil procedure law, which is well regulated in the countries of the continent law system and Anglo-American law system. In contrast with them, we haven't regulated the admission rule of civil procedure law. Although *The Regulations Relating To The Civil Evidence Rules*, which was stipulated by the Supreme People's Court, has regulation on it, the regulation is too principled and easy and isn't coordinated, even contradictory in certain contents. Besides, we just have regulation on the admission rule in the judicial interpretation and haven't made about it, so it hasn't produced its function in practice. Meanwhile, in the theory of lawsuit, few scholars in China have formulated it; they haven't agreed on some questions, so theoretical study on it is lagging far behind. Combining theories with practice at home and abroad, the thesis deeply analyzes certain aspects about the admission rule. It is divided into four chapters, besides preface and conclusion.

Chapter one makes a definition of admission rule, connotation, character, theoretical foundation of it. The admission rule of civil procedure refers to a kind of stating station that one party affirms definitely unfavorable legal facts provided by his opposition to himself. It has six elements, and has the character of evidence rule in its nature. Many counties have stipulated it in the evidence rule because of its profound foundation.

Chapter two analyzes the admission effect of the civil procedure. It exempts parties from onus of proof, and restricts the court and parties. It has an effect on the civil procedure at first instance, the civil procedure at second instance and the new trial. However, its effect isn't absolute. Considering the public interest and lawsuit policy and so on., each country thinks that it is necessary to put a limit on the admission rule, lawmakers regulate that it doesn't put into effects, or it takes effect then causes to be in effect, and that the express admission could be discharged and the implied admission could be disputed.

Chapter three makes some research the admission rule of the two legal systems in the law-making and theory, and analyzes its classification. The continental law system and the Anglo-American law system have clear regulations about admission rule, and they have some characters in the law-making and theory in common, but they have respect characters. According to different standards, admission rule has different classification. To make these classifications clear, it is necessary to understand its nature and use it.

Chapter four analyzes defects and shortcomings of the present admission rule in China, and put forward some perfectible measures. The admission rule is an ancient rule, but it isn't stipulated in the civil procedure law in China. *The Regulations Relating To The Civil Evidence Rules* of the Supreme People's Court has some regulations about it, however, the maturity and accuracy isn't enough, which makes it impossible to yield its effect in practice. Therefore, drawing lessons from the theory, cases and law-making experiences at home and abroad and Taiwan, we should reconstruct and perfect the admission rule in China.

**Key words:** Civil Procedure; Evidence System; Admission Rule

目 录

前 言	1
第一章 自认规则概述	3
一、自认的涵义及其构成要件	3
(一) 自认的涵义	3
(二) 自认的构成要件	6
二、自认规则的理论基础	11
(一) 处分原则	11
(二) 辩论主义	12
(三) 诚实信用原则	13
(四) 诉讼经济主义	14
三、自认的属性	14
第二章 自认的效力	20
一、诉讼上自认的效力	20
(一) 免除举证责任的效力	20
(二) 拘束法院的效力	21
(三) 对自认方的拘束力	22
二、自认效力的限制或排除	22
(一) 自认在人事诉讼中不能适用	23
(二) 应予司法认知的显著事实或者能够基于推论而得知事实	23
(三) 在诉讼中已被证明为并非真实的事实	24
(四) 法律上应依职权调查或另有规定的事项	24
(五) 未成年人或精神病人作出的自认不成立	25
(六) 自认的效力能否及于共同诉讼人	25

(七) 对诉讼调解、和解中所作自认的限制·····	26
(八) 出于滥用诉权的目的而自认, 不发生自认的法律效果·····	27
(九) 因他人的欺诈、胁迫等违法犯罪行为而自认的, 可以撤销·····	28
(十) 法律推定与自认·····	28
<b>三、自认的撤销与追复·····</b>	<b>28</b>
(一) 自认的撤销·····	29
(二) 自认的追复·····	35
<b>第三章 两大法系自认规则的比较及其类型分析·····</b>	<b>38</b>
<b>一、两大法系自认规则的比较·····</b>	<b>38</b>
(一) 德国法·····	38
(二) 法国法·····	38
(三) 日本法·····	39
(四) 我国台湾地区的立法例·····	40
(五) 英国法·····	41
(六) 美国法·····	43
<b>二、自认的分类·····</b>	<b>44</b>
(一) 诉讼上自认和诉讼外自认·····	44
(二) 明示自认与默示自认·····	45
(三) 完全自认与限制自认·····	47
(四) 当事人的自认(本人的自认)与代理人的自认·····	48
(五) 对事实的自认与对诉讼请求的自认·····	49
<b>第四章 我国现行立法及实务中自认规则之缺陷及其重构·····</b>	<b>51</b>
<b>一、我国自认规则的发展过程·····</b>	<b>51</b>
<b>二、我国现行自认规则的缺陷·····</b>	<b>53</b>
(一) 体制未理顺·····	53
(二) 内容多含糊·····	53



(三) 内容有漏洞·····	54
(四) 法条不协调·····	56
<b>三、我国现行自认规则的重构及其完善·····</b>	<b>56</b>
(一) 立法层面的完善·····	56
(二) 自认规则的重构·····	56
<b>结    语·····</b>	<b>62</b>
<b>参考文献·····</b>	<b>63</b>

厦门大学博硕士论文摘要库

厦门大学博硕士论文摘要库

## CONTENTS

<b>Preface</b> .....	1
<b>Chapter 1 The Summary of Admission Rule</b> .....	3
<b>Subchapter 1 The Definition of Admission Rule And Its Connotation</b> .....	3
Section 1 The definition of admission rule.....	3
Section 2 The connotation of admission rule.....	6
<b>Subchapter 2 The Theoretical Foundation of Admission Rule</b> .....	11
Section 1 Disposition.....	11
Section 2 Argument doctrine.....	12
Section 3 Bona fide doctrine.....	13
Section 4 Economic proceeding doctrine.....	14
<b>Subchapter 3 The Attribution of Admission Rule</b> .....	14
<b>Chapter 2 Effect of Admission</b> .....	20
<b>Subchapter 1 Admission Rule of Lawsuit</b> .....	20
Section 1 Exempting parties from onus of proof.....	20
Section 2 Restricting courts.....	21
Section 3 Restricting the admitted.....	22
<b>Subchapter 2 The Limitation or Exclusion of Admission Effect</b> .....	22
Section 1 Admission rule doesn't apply to personnel proceedings.....	23
Section 2 The notable facts which can be got by judicature or based on deduction.....	23
Section 3 The facts which can be proved to be false in the civil proceedings.....	24
Section 4 The events which are needed to be guided or looked into in law.....	24

Section 5	The admission of a minor or a psychotic is impossible·····	25
Section 6	The admission effect is suitable for common action·····	25
Section 7	The limitation of compromise and reconciliation of action·····	26
Section 8	The admission which is for abuse of civil proceeding hasn't admission effect·····	27
Section 9	The admission which is for crime like deceit and duress can be discharged·····	28
Section 10	Legal presumption and admission·····	28
<b>Subchapter 3</b>	<b>Discharge and Dispute of Admission·····</b>	<b>28</b>
Section 1	Discharge of express admission·····	29
Section 2	Dispute of implied admission·····	35
<b>Chapter 3</b>	<b>Comparison of the Two Legal Systems and Analysis of Its Classification·····</b>	<b>38</b>
<b>Subchapter 1</b>	<b>Comparison of the Two Legal Systems·····</b>	<b>38</b>
Section 1	German law·····	38
Section 2	French law·····	38
Section 3	Japanese law·····	39
Section 4	Cases of Taiwan·····	40
Section 5	English law·····	41
Section 6	American law·····	43
<b>Subchapter 2</b>	<b>Classification of Admission·····</b>	<b>44</b>
Section 1	Admission of inter-lawsuit and outer-lawsuit·····	44
Section 2	Express admission and implied admission·····	45
Section 3	Complete admission and limited admission·····	47
Section 4	Parties' admission and agents' admission·····	48
Section 5	Admission of facts and admission of lawsuit pleas·····	49
<b>Chapter 4</b>	<b>The Defects of the Present Admission Rule in China</b>	

<b>and Its Reconstruction</b> .....	51
<b>Subchapter 1 The Development of Admission Rule in China</b> .....	51
<b>Subchapter 2 The Defects of the Present Admission Rule</b> .....	53
Section 1 The system isn't straightened out.....	53
Section 2 The content is indefinite.....	53
Section 3 The content has loopholes.....	54
Section 4 Rules aren't coordinated.....	56
<b>Subchapter 3 Reconstruct and Perfect the Present Admission Rule in China</b> .....	56
Section 1 Perfect lawmaking.....	56
Section 2 Reconstruct perfect the admission rule in China.....	56
<b>Conclusion</b> .....	62
<b>Bibliography</b> .....	63

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## 前言

作为一个与刑事诉讼之被告人的自白相对应的术语，自认（英文为 admission）是民事诉讼法上的一项重要证据法则，认可并善于运用自认规则，不仅可以节省时间，提高审判效率，达到诉讼经济的目的，而且能够更好地实现诉讼公正的目的。在大陆法系的德国、日本及我国台湾地区的民事诉讼中，自认规则已有成熟的理论和完善的立法；在英美法系国家中，自认作为证据法中的一部分也得到了长足的发展。相比之下，我国尽管近年来学界对于自认理论研究已有相当的突破，但是，由于在整个民事诉讼模式上，尚未实现从职权主义向当事人主义的转变，对于法院和当事人两者在整个诉讼过程中的地位和作用，还是未能合理且符合民事诉讼规律的界定，至少在实务界的观念中，法院职权还是不能正确且合理地“认识”与“受容”民事诉讼中的自认。<sup>①</sup>虽然最高人民法院于 2001 年 12 月通过的《关于民事诉讼证据的若干规定》（以下简称《民事证据规定》）第 8 条和第 74 条对此作了相关规定，但仅为举证责任的一种例外，显失全面，且法条之间的内容亦存在矛盾和不相协调之处，可操作性不强。同时，仅限于司法解释而未上升至立法层面并形成一种制度，导致在实践中未能发挥其应有的功能。审判实践中普遍存在着法官不敢或不愿以当事人的自认为依据判决的现象，甚至作出与自认相反的判决。这都使得自认规则在审判实务中的运用大打折扣，自认规则的功能远未得到发挥。

在将公正与效率作为审判工作永恒主题的今天，尤其是在我国加入 WTO 后，全面树立司法新理念，深化司法改革的浪潮中，通过立法确定科学、完整的自认规则，不仅是程序公正的内在要求，而且是提高诉讼效率和适应涉外诉讼，与世界发展潮流相一致的需要。正鉴于此，笔者在此欲在前人探索的基础

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<sup>①</sup> 张卫平.外国民事证据制度研究[M].北京:清华大学出版社,2003.326.

上,结合审判实践对自认规则诸如自认的概念及其构成要件、自认的理论基础、自认的属性、自认的效力及其类型等进行理论分析和界定,并对两大法系关于自认的立法及学理展开比较研究,根据我国当前的立法及实践之现状,剖析其缺陷和不足,并提出一些完善对策,以求教于同仁,以期对我国的自认规则理论研究及其重构有所裨益。

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